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PATENTS, TRADEMARKS, COPYRIGHTS & UNFAIR COMPETITION

October 31, 2006

Commissioner For Patents
Office of Initial Patent Examination
Customer Service Center
P.O. Box 1450
Alexandria, VA 22313-1450

Re: Our File: REGIM 3.3-040
Appln. No. 10/511,565
Filing Date: August 3, 2006
Group Art Unit: 2872

Dear Sir:

We are enclosing herewith copies of the filing receipt, executed Declaration and Application Data Sheet for the above-identified patent application.

Please note that the third-named Applicant should read --**Philippe Yvernault**--, not "Yvernault."

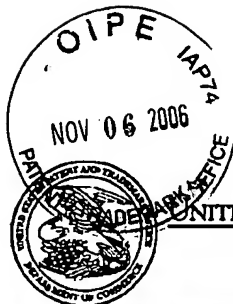
Kindly issue a corrected filing receipt for the above-identified application as soon as possible.

Sincerely yours,

LERNER, DAVID, LITTENBERG,
KRUMHOLZ & MENTLIK, LLP

ARNOLD H. KRUMHOLZ
Reg. No. 25,428

AHK/l
Enclosures



UNITED STATES PATENT AND TRADEMARK OFFICE

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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/511,565	08/03/2006	2872	1198	REGIM 3.3-040	8	59	1

CONFIRMATION NO. 4434

000530
 LERNER, DAVID, LITTENBERG,
 KRUMHOLZ & MENTLIK
 600 SOUTH AVENUE WEST
 WESTFIELD, NJ 07090

FILING RECEIPT



OC000000020913384

Date Mailed: 10/25/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Alain Mugnier, Begard, FRANCE;
 Rachelle Le Roux, Pleumeur-Gautier, FRANCE;
 Philippe Yvemault, Lannion, FRANCE;
 David Pureur, Perros-Guirec, FRANCE;

Assignment For Published Patent Application

Highwave Optical Technologies, Lannion, FRANCE

Power of Attorney: The patent practitioners associated with Customer Number 000530.

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/FR03/01197 04/15/2003

Foreign Applications

FRANCE 02/04821 04/17/2002

Projected Publication Date: 01/25/2007

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

LDLK &M

OCT 27 2006

RECEIVED

Title

Method for production of a tunable optical filter

Preliminary Class

359

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Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process simplifies the filing of patent applications on the same invention in member countries, but does not result in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

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For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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Title 37, Code of Federal Regulations, 5.11 & 5.15

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Application Data Sheet

Application Information

Application Type::	Regular
Subject Matter::	Utility
Suggested Group Art Unit::	N/A
CD-ROM or CD-R?::	None
Sequence submission?::	None
Computer Readable Form (CRF)?::	No
Title::	METHOD FOR PRODUCTION OF A TUNABLE OPTICAL FILTER
Attorney Docket Number::	REGIM 3.3-040
Request for Early Publication?::	No
Request for Non-Publication?::	No
Suggested Drawing Figure::	1A
Total Drawing Sheets::	8
Small Entity?::	Yes
Petition included?::	No
Secrecy Order in Parent Appl.?::	No

Applicant Information

Applicant Authority Type::	Inventor
Primary Citizenship Country::	France
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Country of Residence::	France
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City of mailing address::	Begard
Country of mailing address::	France
Postal or Zip Code of mailing address::	F-22140

Applicant Authority Type:: Inventor
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Family Name:: Leroux
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Country of Residence:: France

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Country of mailing address:: France
Postal or Zip Code of mailing address:: F-22700

Correspondence Information

Correspondence Customer Number:: 000530

Representative Information

Representative Customer Number:: 000530

Domestic Priority Information

Application::	Continuity Type::	Parent Application::	Parent Filing Date::
This Application	National Stage of	PCT/FR03/01197	04/15/03

Foreign Priority Information

Country::	Application number::	Filing Date::	Priority Claimed::
France	02/04821	04/17/02	Yes

Assignee Information

Assignee name:: Highwave Optical Technologies
Street of mailing address:: Espace Pégase,
11, rue de Broglie
City of mailing address:: Lannion
Country of mailing address:: France
Postal or Zip Code of mailing address:: F-22300



Please type a plus sign (+) inside this box → ☐

PTO/SB/01 (03-01)
Approved for use through 10/31/2002. OMB 0851-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)	Attorney Docket Number	REGIM 3.3-040
	First Named Inventor	Alain Mugnier
	COMPLETE IF KNOWN	
	Application Number	10/511,565
	Filing Date	October 15, 2004
	Group Art Unit	N/A
<input type="checkbox"/> Declaration Submitted with Initial Filing	OR	<input checked="" type="checkbox"/> Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)
Examiner Name	Not Yet Assigned	

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am an original and first inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

METHOD FOR PRODUCTION OF A TUNABLE OPTICAL FILTER

(Title of the Invention)

the specification of which

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY) 04/15/2003 as United States Application Number or PCT International

Application No. PCT/FR03/01197 and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365 (a) of any PCT International application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or of any PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
02/04821	FR	04/17/2002	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

Please type a plus sign (+) inside this box 

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DECLARATION — Utility or Design Patent Application

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: Customer Number 000530

Direct all correspondence to: ☒ Customer Number or Bar Code Label **000530** OR ☐ Correspondence address below

Name

Address

City

State

ZIP

Country

Telephone

Fax

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR:

☐ A petition has been filed for this unsigned inventor

Given Name
(first and middle (if any))

Alain

Family Name
or Surname

Mugnier

Inventor's
Signature

Date

15-12-04

Residence: City

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17, rue de la Gare

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Begard

State

ZIP

F-22140

Country

France

NAME OF SECOND INVENTOR:

☐ A petition has been filed for this unsigned inventor

Given Name
(first and middle (if any))

Rachelle

Family Name
or Surname

LE ROUX Lereux

Inventor's
Signature

Date

14-07-2006

Residence: City

Pleumeur-Gautier

State

Country

France

Citizenship

France

Mailing
Address:

N° 15, Bel Air

City

Pleumeur-Gautier

State

ZIP

F-22740

Country

France

☒ Additional inventors are being named on the 1 supplemental Additional Inventor(s) sheet(s) PTO/SB02A attached hereto.

LD-337A



PTO/SB/D2A (09-04)

Approved for use through 07/31/2008. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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DECLARATION		ADDITIONAL INVENTOR(S) Supplemental Sheet		Page 1 of 1
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unassigned inventor		
Given Name (first and middle (if any))		Family Name or Surname		
Philippe		Yvernault		
Inventor's Signature		Date 20/12/2004		
Residence: City		State	Country	Citizenship
Lannion			France	France
Mailing Address:		3, rue Jeanne d'Arc		
City		State	Zip	Country
Lannion			F-22300	France
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unassigned inventor		
Given Name (first and middle (if any))		Family Name or Surname		
David		Pureur		
Inventor's Signature		Date 15/12/2004		
Residence: City		State	Country	Citizenship
Perros-Guirec			France	France
Mailing Address:		117, boulevard de la Corniche		
City		State	Zip	Country
Perros-Guirec			F-22700	France
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unassigned inventor		
Given Name (first and middle (if any))		Family Name or Surname		
Inventor's Signature		Date		
Residence: City		State	Country	Citizenship
Mailing Address:				
City		State	Zip	Country
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unassigned inventor		
Given Name (first and middle (if any))		Family Name or Surname		
Inventor's Signature		Date		
Residence: City		State	Country	Citizenship
Mailing Address:				
City		State	Zip	Country